

Electronic Filing System (EFS) Data  
Electronic Patent Application Submission  
USPTO Use Only

EFS ID: 12026  
Application ID: 09682189  
Title of Invention: METHOD, SYSTEM, AND  
COMPUTER PROGRAM PRODUCT  
FOR TRADING INTEREST RATE  
SWAPS  
First Named Inventor: Warren Mosler  
Domestic/Foreign Application: Domestic Application  
Filing Date: null  
Effective Receipt Date: 2001-08-02  
Submission Type: Utility Patent Filing  
Filing Type: new-utility  
Confirmation Number: 0  
Attorney Docket Number: 211945US6CON  
Digital Certificate Holder: cn=James J. Kulbaski, ou=Registered Attorneys, ou=Patent and  
Trademark Office, ou=Department of Commerce, o=U.S.  
Government, c=US  
Certificate Message Digest: ucu34mpl7AcrO9jhtCwwmA==  
Total Fees Authorized: \$2264.0  
Payment Category: DA - Deposit Account  
Deposit Account Number: 150030  
Deposit Account Name: James J. Kulbaski

# TRANSMITTAL FORM



Electronic Version

1.0.2

Stylesheet Version:

1.0

Attorney Docket  
Number:

211945US6CON

## METHOD, SYSTEM, AND COMPUTER PROGRAM PRODUCT FOR TRADING INTEREST RATE SWAPS

First Named Inventor: Warren B. Mosler

### SUBMITTED BY

Name:

James J. Kulbaski

Registration Number:

34,648

Electronic Signature Mark: /JJK

Date Signed: 20010802

*I certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.*

*I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.*

### Attached Files:

bibd-transmittal

specification

declaration

receiptsapds.xml

application.xml

dec01.TIF

declaration  
declaration  
fee-transmittal

dec02.TIF  
dec03.TIF  
receiptsfee.xml

**Attached Image File(s):**

dec01.TIF  
dec02.TIF  
dec03.TIF

09632434-0806204  
T02090-6229960

**Comments:**

The present application is a continuation of application Serial No. 09/209,746. The specification being filed is not identical to the specification filed in 09/209,746; however, no new matter has been added. Specifically, the Summary of the Invention and the Abstract are changed to coincide with the presently filed claims, which recite that the price of the contract is based on at least one notional cash flow discounted by at least one point on an interest rate swap curve obtained from a swap rate source. This change is supported by the specification of application Serial No. 09/209,746 in Figure 4(b), which provides an exemplary swap rate curve formed from discrete points. In addition to this example, other portions of the specification and drawings may also support the present claims.

0966489-0000  
FOIA(b)(7) - (D)

9291-0003-6

# Declaration, Oath of Attorney and Petition

Page 1

WE (I) the undersigned inventor(s), hereby declare(s) that:

My residence, post office address and citizenship are as stated below next to my name,

We (I) believe that we are (I am) the original, first, and joint (sole) inventor(s) of the subject matter which claimed and for which a patent is sought on the invention entitled

METHOD, SYSTEM, AND COMPUTER PROGRAM PRODUCT FOR TRADING INTEREST

RATE SWAPS

the specification of which

☐ is attached hereto.

☒ was filed on December 11, 1998 as  
Attorney Docket No.  
~~Appointed State~~ 9291-0003-6  
and amended on \_\_\_\_\_.

☐ was filed as PCT international application

Number \_\_\_\_\_

on \_\_\_\_\_,

and was amended under PCT Article 19

on \_\_\_\_\_ (if applicable).

We (I) hereby state that we (I) have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

We (I) acknowledge the duty to disclose information known to be material to the patentability of the application as defined in Section 1.56 of Title 37 Code of Federal Regulations.

We (I) hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed. Prior Foreign Application(s)

Application No.

Country

Day/Month/Year

Priority  
Claimed

☐ Yes ☐ No

Pat  
De

We (I) hereby claim the benefit under Title 35, United States Code, § 119(e) of any United States prior application(s) listed below.

<u>60/074,588</u>	<u>February 13, 1998</u>
(Application Number)	(Filing Date)
<u>60/101,419</u>	<u>September 22, 1998</u>
(Application Number)	(Filing Date)
<u>60/104,400</u>	<u>October 15, 1998</u>

We (I) hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or § 365(c) PCT International application designating the United States, listed below and, insofar as the subject in each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to information which is material to patentability as defined in 37 CFR § 1.56 which became available before filing date of the prior application and the national or PCT International filing date of this application.

Application Serial No.	Filing Date	Status (pending, patent abandoned)
_____	_____	_____
_____	_____	_____
_____	_____	_____

And we (I) hereby appoint: Norman F. Oblon, Registration Number 24,618; Marvin J. Spivak, Reg Number 24,913; C. Irvin McClelland, Registration Number 21,124; Gregory J. Maier, Registration Number 24,854; Richard D. Kelly, Registration Number 27,757; James D. H. Registration Number 28,421; Eckhard H. Kuesters, Registration Number 28,870; Robert T. Pous, Reg Number 29,099; Charles L. Gholz, Registration Number 26,395; Vincent J. Sunderdick, Registration Number 30,073; Robert I. Registration Number 27,295; Jean-Paul Lavalleye, Registration Number 31,451; Stephen G. Baxter, Reg Number 32,884; Martin M. Zoltick, Registration Number 35,745; Robert W. Hahl, Registration Number 36,379; Steven P. Weihrouch, Registration Number 32,829; Goolkasian, Registration Number 26,142; Marc R. Labgold, Registration Number 34,651; William J. Registration Number 36,160; Richard L. Chinn, Registration Number 34,305; Steven E. Lipman, Reg Number 30,011; Carl E. Schlier, Registration Number 34,426; James J. Kulbaski, Registration Number 34,648; C. B. Richardson, Registration Number 39,007; Richard A. Neifeld, Registration Number 35,299; and J. Derel Registration Number 35,270; our (my) attorneys, with full powers of substitution and revocation, to prosecute application and to transact all business in the Patent Office connected therewith; and we (I) hereby request correspondence regarding this application be sent to the firm of OBLON, SPIVAK, McCLELLAND, M NEUSTADT, P.C., whose Post Office Address is: Fourth Floor, 1755 Jefferson Davis Highway, Arlington, Virginia 22202.

We (I) declare that all statements made herein of our (my) own knowledge are true and that all statements of information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

WARREN B. MOSLER  
NAME OF FIRST SOLE INVENTOR


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APR.20.1999 11:55AM OBLON SPIVAK USA

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Page  
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Citizen of: \_\_\_\_\_

# FEE TRANSMITTAL

Electronic Version 1.0.4

Stylesheet Version: 1.0

*Patent fees are subject to annual revisions on or about October 1st of each year.*

Large Entity

**TOTAL FEES AUTHORIZED: \$ 2264**

The commissioner is hereby authorized to charge indicated processing and/or publication fees and credit any overpayments to:

Deposit Account Number: 15-0030



Deposit Account Name: Oblon, Spivak et al.

Charge Any Additional Fee Required Under 37 C.F.R. Sections 1.16 and 1.17.

## SUBMITTED BY

Authorized Name: James J. Kulbaski

Electronic Signature Mark: /JJK

Date Signed: 20010802

## BASIC FILING FEE

Fee Description	Fee Code	Fee Paid
Utility Filing Fee	101	\$ 710

Subtotal For Basic Filing Fee: \$ 710

## EXTRA CLAIM FEES

	Fee Code	Fee	Extra Claims	Fee Paid
Total Claims: 63	103	\$ 18	43	\$ 774
Independent Claims: 9	102	\$ 80	6	\$ 480

Subtotal For Extra Claims Fees: \$ 1254



ADDITIONAL FEES

Fee Description	Fee Code	Fee Paid
Publication Fee For Early or Voluntary Publication	195	\$ 300

Subtotal For Additional Fees: \$ 300

0966139-08034  
602030-5322960